IUB Electronic Filing System Process Kaizen Event

Report Out

"Team Efuss"

August 24-August 28, 2015

The Opportunity

Geri Huser, IUB

Team Efuss

Don

Barb Oswalt, IUB; Trisha Quijano, IUB; Sam Cue, IUB; Pat O'Connor, Alliant; Larry Shi, OCA; Don Tormey, IUB; Sara Throener, DIA; Marie Jeanblanc, IUB; Shelley Lewis, IUB; Laura Vyncke, MidAmerican; Jim Sundermeyer, IUB; Robyn Woeste, Alliant; Andrew McGrean, IUB; Leann Boswell, IDR

Scope

Andrew

> ➢ **This event will look at the Iowa Utilities Board's current electronic filing process from the time a record is submitted through retention. The team should also look at overall usability and functionality of an electronic filing system.**

Goals

Larry

1. By increasing efficiencies, reduce process time from submission to user availability by 50%.

2. 100% compliance with retention standards.

Objectives

Robyn

1. Understand the capabilities of the current Electronic Filing System (EFS).

2. Increase efficiencies within the electronic filing process for internal and external users.

3. Develop definitions for terms commonly used in the electronic filing process.

4. Identify improvements and enhancements of an electronic filing system.

5. Create a prioritized list of requirements of an electronic filing system.

6. Reduce the staging review time of documents.

Kaizen Methodology

Laura

- ➢ Clear objectives
- ➢ Team process
- ➢ Tight focus on time
- ➢ Quick & simple
- ➢ Necessary resources immediately available
- ➢ Immediate results (new process designed by end of week)

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Brainstorming

Trisha

Filing (12)

- Add the capability to view a document to the submission screens

Staging (23)

- Transfer as much staging functionality as possible to the submitter. The purpose here is to standardize as many fields as possible thus reducing the amount of errors.

Search/Retrieval (7)

- Related documents paired together

Ease of Use (8)

- Docket tracking in the overall process

Viewing Experience (10)

- EFS homepage redesign

Subscribe/Service List (7)

- Ability to subscribe and unsubscribe to notifications

Brainstorming

Trisha

User Capabilities (10)

- Provide internal/external training

Submission (7)

- Remove the limitations on the number of files that can be submitted as part of one upload and increase the file size restrictions.

Policy and Procedure (7)

- Convert (ongoing) pre-2009 dockets to EFS. Also, all existing electronic Board orders should be added to the EFS database.
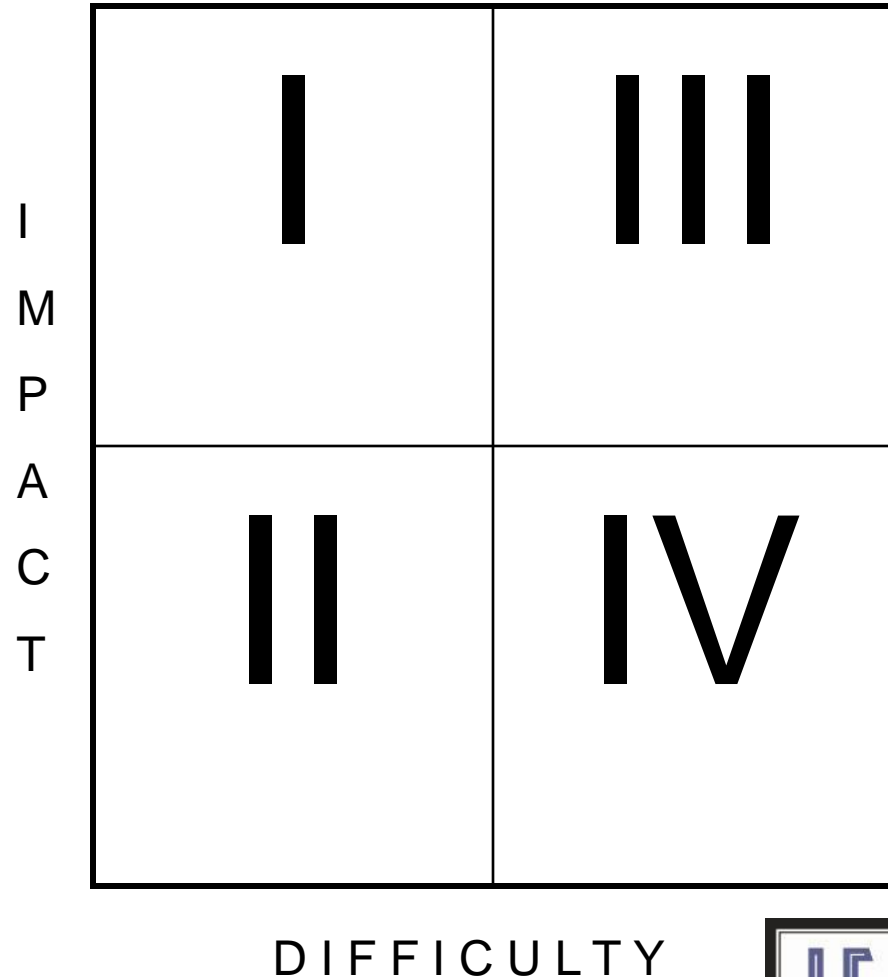
Additional Functionality (7)

- Create forum to receive ongoing suggestions for improvements from all stakeholders.

De-selection Process

Pat

- Identifies
  - Impact to customer
  - Difficulty implementing

- Helps to rate/ rank solutions to resolve issues while identifying ease of implementation

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I	III
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D I F F I C U L T Y

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New Process
Sam

Key Changes

Barb

- Reduced Records Center processing steps
- More standardization built into the process resulting in reduction of errors
- More automation
- Eliminated duplicate copies of documents
- More secure logon procedures
- Create ongoing committee to review functionality of system

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Results
Don

	Current	New	% Change
# TOTAL STEPS	69	49	-29%
# VALUE ADDED	2	2	0%
% VALUE ADDED	0.03%	0.04%	41%
# DELAYS	4	4	0%
TOTAL DELAYS average (Mins)	325	287	-12%
LOOP BACKS	5	3	-40%
HANDOFFS	6	5	-17%
DECISIONS	16	11	-31%
TOTAL CYCLE TIME (min)	45	42	-7%

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Homework
Trisha

Improvements/ Action Item	Person Responsible	Due Date
Develop & implement consistent file rejection policy, including instructions & training; review existing policy.	Marie	9/29/2015
Implement existing retention schedule. Review existing purge & space management.	Barb/Trisha	9/29/2015
Incorporate spell check functionality in EFS.	Sam	9/29/2015
During peak periods, assign additional staff to assist Records Center during these periods.	Shelley	9/29/2015
Record Center staff processes files as they become available rather than by assigned file types.	Shelley/Marie	9/29/2015
Add submitting filer's name and on behalf of name to "upload complete" sheet	Sam	2/26/2016
Remove limitations on number of files that can be submitted as part of one upload & increase file size restrictions.	Sam	2/26/2016
Convert (ongoing) pre-2009 dockets to EFS.	Marie/Barb/Trisha	9/29/2015
All existing electronic boards orders should be added to EFS database.	Marie/Barb/Trisha	9/29/2015
Scan existing paper board orders and upload to EFS.	Marie/Barb/Trisha	9/29/2015
Combine affidavit and accompanying document in one file.	Trisha	9/29/2015
Eliminate requirement for cover letter.	Trisha	9/29/2015

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System Requirements (64)
Marie

- Increase user role functionality, for example allow admin staff to file for multiple people under single login.
- Docket tracking in the overall process
- System automatically does date stamp
- Self-generating working document (akin to a combined PDF with bookmarks) that renders the documents in any docket more usable.
- Built-in reporting system (procedural schedules)
- Built-in purging/archiving system

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Team Member Experience

- Don Tormey
- Andrew McGrean

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Comments

- Leann Boswell, IDR
- Sara Throener, DIA

We welcome your questions and comments!